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States Government

Department of Energy

Rocky Flats Field Office

Memorandum

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ACTION

AUG 10 1994

ES&G
ROCKY FLATS PLANT
CORRESPONDENCE

AMPME:MSK:06486

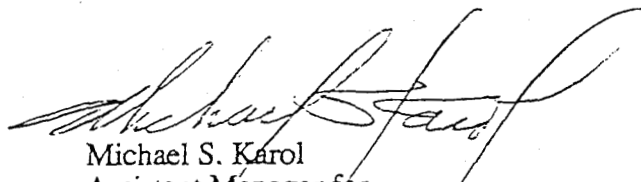
Transmittal of Roles and Responsibilities Statement

Jessie Roberson, Acting Assistant Manager for Environmental Restoration, RFFO

The purpose of this memorandum is to transmit to you and to your staff the Roles and Responsibilities Statement for project management of Environmental Restoration (ER) projects. This statement describes with some specificity the roles and responsibilities of staff from our two organizations during the various phases of ER project conception, design, construction and completion. The statement was prepared jointly by John Rampe of my staff, in consultation with Frazer Lockhart of your organization.

I believe that this statement will provide a basis for effective and efficient interaction between our two staffs to better oversee the M&O contractor's management of ER projects. I encourage you to share this statement with your Operable Unit managers and other staff that have an interest in project management, including those staff with programmatic responsibilities for decontamination and decommissioning projects. We would like to receive your staff's input on this statement, and in this regard, I suggest that we schedule a meeting (or perhaps a half-day retreat) between our two staffs to discuss the document and finalize an understanding of respective roles and responsibilities. Please contact me to arrange such a session.

I look forward to discussing this further with you; please call me at x4440 if you have any comments or questions.


Michael S. Karol
Assistant Manager for
Project Management and Engineering

Attachment

cc: (w/Att):

M. Silverman, RFFO
L. Smith, RFFO
J. Wienand, RFFO
F. Lockhart, RFFO
J. Rampe, RFFO
J. Posluszny, RFFO
S. Stiger, EG&G

CORRES. CONTROL	X	X
ADPN RECORD/080	X	2
PATS/T130G		

Reviewed for Addressee
Corres. Control RFP

8-11-94
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ROLES, RESPONSIBILITIES AND STATEMENTS OF POLICY
ENVIRONMENTAL RESTORATION MAJOR SYSTEM ACQUISITION
ROCKY FLATS ENVIRONMENTAL TECHNOLOGY SITE

July 6, 1994

INTRODUCTION

The Environmental Restoration Major System Acquisition is a collection of sub-projects, including investigation and construction projects, of various sizes that will support environmental restoration at Rocky Flats over the next thirty years. These sub-projects are in varying stages of investigation, design and construction. Most operable units at Rocky Flats are still in the investigation stage; however, some interim measures have been constructed and others are in the design stages. Other Environmental Restoration support projects (such as decontamination pads, waste storage buildings, etc.) are underway that are not specifically part of the ER-MSA. The roles, responsibilities and policy statements made herein are intended to apply to these ER projects as well as those within the MSA itself. Additionally, these roles and responsibilities apply to ER-funded Decontamination and Decommissioning (D&D) projects at Rocky Flats.

This document is intended to provide a framework of roles and responsibilities within which Department of Energy, Rocky Flats Field Office (RFFO) staff will routinely interact to formulate and manage ER design and construction projects. Primarily, this document describes the roles and responsibilities of the RFFO program staff, within the Office of the Assistant Manager for Environmental Restoration (AMER), and the project management staff, within the Office of the Assistant Manager for Project Management and Engineering (AMPME). This document assumes, as a basis for this interaction, that DOE Order 4700.1 and related project management orders, as they have been interpreted by DOE Headquarters, apply to the individual MSA sub-projects. As such, the Key Decision (KD) terminology as used in DOE Order 4700.1 is used in this document to describe the various stages of ER-MSA construction sub-projects. KD's are defined as follows:

KD-0	Approval of Mission Need (Allows Conceptual Design)
KD-1	Approval of New Start (Allows Preliminary or Title I design)
KD-2	Approval to commence Title II or final design
KD-3	Approval to commence construction, or D&D actions.
KD-4	Approval to operate facility and project and accounting close-outs; following completion of construction, testing and/or D&D operations.

This document also assumes that all projects will have decision points analogous to KD's, regardless of project size. Roles and responsibilities of AMPME and AMER are discussed herein for each KD point.

Both AMER and AMPME intend to follow the roles and responsibilities as defined in this document on a routine basis. In special circumstances, such as unavailability of AMPME resources, AMER and AMPME may agree that AMER, as the responsible organization, may utilize other mechanisms for project management as appropriate.

GENERAL ROLES OF PROGRAM AND PROJECT STAFF

Program staff -- AMER, MSA Division: The general role of the program staff is to formulate the overall objectives of the Environmental Restoration program, and to establish both the philosophy and the general plan by which these objectives will be achieved.

Program staff are ultimately responsible for, and retain authority for, the success of the MSA and its subprojects. The program staff will establish the general regulatory and practical requirements to be met by the Rocky Flats ER program; such requirements may be established through the negotiation of compliance agreements with State and Federal regulators and through interactions with other stakeholders. The program staff will in general be responsible for overseeing the definition of program objectives through investigation of the various operable units and through subsequent regulatory and public interaction. The program staff will prepare and justify budget requests for anticipated design and construction projects, and will authorize the mission need for construction projects to support program goals. Program staff will communicate with project staff regarding the need for and requirements of any anticipated construction projects, as well as significant changes in existing projects. Program staff will be responsible for issuing the approval to operate ER facilities. Finally, program staff will serve as leads in performing routine reporting to Headquarters (such as mid-year and end-of-year reviews); project staff may assist at the program's request.

Project Staff -- AMPME: The general role of the project staff is to review and authorize projects proposed by the program staff, and to oversee their design and construction so that the overall ER program goals are met. The project staff will review proposed projects, up to and including conceptual design documents prepared by the Management and Operating contractor, to ensure that proposed costs and schedules are consistent with proposed work scopes. The project staff may conduct value engineering reviews for proposed projects, and suggest engineering alternatives to the program staff. The project staff will review the contractors' sub-project management plans for consistency with the requirements of DOE Orders 4700.1 and 6430.1a, and in consultation with the program staff, define the applicable requirements of this and other project management orders for each sub-project. Following authorization, the project staff will assume day-to-day project management, including formal and informal reviews, routine change controls, etc. Finally, project staff will communicate the status of all projects on a regular basis to the program staff, including reporting of cost and/or schedule variances, and will evaluate and recommend actions to eliminate such variances as they arise.

SPECIFIC ROLES OF PROGRAM AND PROJECT STAFF DURING PROJECT DEFINITION, CONSTRUCTION AND ACCEPTANCE

Pre-KD-0 and KD-0: The phase of the project up to and including KD-0 includes the definition and justification of the need for a given project, and the project's general scope, schedule and cost in preliminary terms. The program staff serves as the lead during this stage of project development, and oversees day-to-day contractor activities. Program staff oversees contractor investigations into operable unit contamination, and negotiates with regulators and interacts with other stakeholders to propose project approaches appropriate to mitigate observed contamination. The program staff is responsible for securing Headquarters approvals, as needed, to proceed with any proposed project, and is responsible for securing Headquarters funding and for the preparation or revision of funding and planning documents, such as Activity Data Sheets (ADS's). During this phase, the program staff will establish the general performance requirements for the project. Program staff will report to the project staff a summary of the anticipated costs, scopes and schedules for proposed projects as they are developed, as well as the status of external approvals. Program staff are responsible for granting or obtaining KD-0 (or analogous) approval, incorporating project staff consultation regarding technical feasibility. The program staff will obtain the concurrence of the project staff prior to committing to external milestones for construction projects.

During this project phase, the project staff serve in a support and information-gathering role. Project staff review available information on potential projects, and advise program staff on technical feasibility or possible engineering alternatives. Project staff make plans for internal resource allocations in anticipation of proposed project authorization. Project staff also grant concurrence for any compliance-driven schedules for construction projects that may be developed at this stage.

Post-KD-0/Pre-KD-1: This phase of the project includes the development of a conceptual design report or analogous document that establishes the project scope with sufficient specificity to allow more precise estimation of project schedule and project costs, and the establishment of firm project acceptance/performance criteria. This phase also includes the development of a sub-project management plan, or analogous document, that identifies the project scope, schedule, funding profile and funding sources, project management team members (including both program and project management organizations), internal RFFO/RFETS project requirements and allowable exceptions to RFFO project management policies (such as change control thresholds), if any.

Program staff retain the lead role during this phase of the project, particularly as regards day-to-day contractor oversight regarding the development of the conceptual design report (CDR) and the sub-project management plan. It remains the program staff's responsibility to develop and refine the project's acceptance/performance criteria, and to assure that the project in development meets (at least conceptually) all anticipated programmatic objectives, especially enforceable milestones, discharge standards, etc. For multi-year projects, program staff retain any ongoing responsibility for justification of funds and preparation of budget documents such as ADS's. During the development of the conceptual design report, it is the program staff's role to assure that collateral organizations, such as waste management and safety, are consulted and that any relevant requirements are incorporated into the CDR and/or project management plan. Program staff prepare the project transfer memorandum for transmittal to the project staff. This memorandum includes the CDR, sub-project management plan and any other necessary documentation, and supports the project management organization's project evaluation and decision regarding authorization of Title I design.

During this phase, project staff continue to serve in a support capacity to the program staff. However, this role becomes progressively greater in anticipation of receipt of the project transfer memorandum, and in anticipation of the design authorization decision. Project management staff assist actively in the development of the sub-project management plan, especially as regards the definition of DOE project management order requirements. Project management staff may also consult as regards overall project scope requirements, and may recommend, for example, consolidation of Title I and Title II design. Following receipt of the project transfer memorandum, project staff may perform independent cost estimation and schedule validation to assure that adequate time and funding have been allocated to the project, and will report to the program staff the results of this validation and recommended changes, if any, to the project management plan. Project management staff may perform a value engineering analysis at this time, and forward any potentially desirable engineering alternatives to the program staff for their consideration. Project management staff will ensure that the final sub-project management plan includes project review points that meet the requirements of DOE orders, and that the program organization is involved as it desires in ongoing project reviews.

KD-1 through pre-KD-4: These phases of the project include design and construction. Following issuance of KD-1, a combined KD-1/2 or other affirmative decision to commence design work, which are given by the project management staff, project management becomes the lead organization. Project management staff assume

responsibility for day-to-day contractor oversight. Such oversight includes review of project Management Control System, project status and variance analysis reports, meeting with the M&O contractor to review project progress and arrive at mitigation plans for observed cost and schedule variances, and consideration of change control requests within appropriate Plant thresholds. Project management staff conduct engineering design reviews and project justification/validation as described in the sub-project management plan, and issue KD-3 or analogous decisions to begin construction after review of final designs. During this period, it is the responsibility of project management staff to communicate routine project status, project variances or significant issues to program staff, for concurrence in proposed mitigative measures as appropriate. At review points during this phase, project management staff may recommend substantial alterations in project scope, or project work stoppage if underlying operational requirements change; such recommendations will be made to the program staff for their concurrence. Direction to the contractor in this regard will be made by the project management staff following program staff concurrence. (NOTE: In certain circumstances, such as an imminent safety hazard, impending violation of the Anti-Deficiency Act, etc., AMPME staff may issue a unilateral work stoppage order. In such cases, AMPME will notify AMER staff at the earliest opportunity of the work stoppage, and meet to arrive at a mutually agreeable course of action for the project.) During construction, project management staff will conduct regular walk-throughs of the construction site, and will seek the involvement of other organizations, such as construction safety, in such walk-throughs. Project management staff will oversee and review the results of pre-operational testing of facilities, and inform AMER staff of the results of such testing and the impacts, if any, on projected budgets and schedules. Project staff are responsible, at the completion of construction, for verifying that the project was completed per plans and specifications, through use of a project transfer form.

Program staff retain responsibility through design and construction for justification and acquisition of project funding and for preparation of attendant paperwork. Program staff are also responsible for informing project management staff of any known changes in underlying project requirements that could significantly alter project scope, schedule or cost. Program staff participate as desired in periodic project reviews. Program staff continue to serve as the primary interface with regulators and external stakeholders. If project variances affect the meeting of regulatory or other commitments, project management staff may assist, at the request of program staff, in negotiations with regulators or other stakeholders.

KD-4: This phase of the project, which occurs at the end of construction, involves final demonstration of the facility and approval to commence facility operations. During this phase, the lead role in overseeing contractor activities reverts to the program organization. Program staff review and approve contractor plans for pre-operational reviews of the facility. Program staff also consider the need for independent DOE operational reviews, and take the lead in designing and conducting such reviews. Program staff are responsible for oversight of the preparation and for the approval of facility safety analysis reports as needed. Program staff are responsible for issuance of the approval to commence operations; any facility alterations that may be needed at this point may be remanded to the project staff for oversight to completion. Program staff are responsible for ensuring that accounting close-out takes place, to ensure that no further charges are made.

Project management staff performs a support role in the facility acceptance phase, as technical experts regarding facility design and construction. Any major facility alterations that are discovered to be necessary as a result of the acceptance reviews may be overseen by project management staff. Finally, project staff handle project close-out functions,

including acceptance of as-built drawings (where required), that support the overall accounting close-out of the project.